

08/28/01

jc981 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 298-139

First Inventor Irina Menz

Title AN OPTICAL FEATURE...

Express Mail Label No. EL814600117US

jc986 U.S. PTO
09/940913
08/28/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 29]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
5. Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney]
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Check for \$499.00

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or

☒

Correspondence address below

Name	Rocco S. Barrese, Esq.				
Address	DILWORTH & BARRESE, LLP				
	333 Earle Ovington Blvd.				
City	Uniondale	State	New York	Zip Code	11553
Country	U.S.A	Telephone	(516) 228-8484	Fax	(516) 228-8516

Name (Print/Type)	George M. Kaplan	Registration No. (Attorney/Agent)	28,375
Signature	<i>George M. Kaplan</i>	Date	Aug. 28, 2001

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL814600117US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: Aug. 28, 2001

George M. Kaplan

68-29-01

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PATENT

Atty. Docket No. 298-139

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Assistant Commissioner for Patent
Washington, D.C. 20231

UTILITY APPLICATION FEE TRANSMITTAL

JC891 U.S. PTO
08/28/01
JC886 U.S. PTO
09/940913
08/28/01

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Irina Menz and Guenther Dausmann

For: AN OPTICAL FEATURE, IN PARTICULAR FOR DOCUMENTS OF
VALUE AND A MANUFACTURING METHOD FOR THE LATER
INDIVIDUALIZATION OR DATA STORAGE

Enclosed are:

- [x] 21 page(s) of specification
[x] 1 page(s) of Abstract
[x] 7 page(s) of claims
[x] 3 sheets of drawings [x] formal [] informal
[x] 6 page(s) of Preliminary Amendment (w/marked-up copy)
[] request and certification under 35 U.S.C. §122
[] page(s) of Declaration and Power of Attorney
[] An Assignment of the invention to _____

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL814600117US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: August 28, 2001

George M. Kaplan
George M. Kaplan

[] This application claims the benefit under 35 U.S.C. §119(e) of U.S. Provisional Application(s) No(s)..
APPLICATION NO(S) : FILING DATE

[x] Certified copy of applications

Country	Appln. No.	Filed
GERMANY	100 50 556.2	Oct. 12, 2000
GERMANY	100 55 429.6	Nov. 09, 2000
EUROPEAN	01 117 285.5	July 17, 2001

from which priority under Title 35 United States Code, § 119 is claimed

[] is enclosed.

[x] will follow.

CALCULATION OF UTILITY APPLICATION FEE *

For	Number Filed	Number Extra	Rate	Basic Fee
Total				\$ 710.00
Claims**	36	-20 = 16	x \$ 18.00	\$ 288.00
Independent				
Claims	3	-3 = 0	x \$ 80.00	\$ 0.00
Multiple	[] yes	Add'l. Fee	\$270.00	\$
Dependent				
Claims	[x] no	Add'l. Fee	None	= \$
			TOTAL	\$998.00

[x] "Small Entity" Status Under 37 C.F.R. § 1.27. Reduced fees under 37 C.F.R. § 1.9(f) (50% of 998.00 total) paid herewith \$ 499.00.

[] The amount of \$_____ for recording the attached Assignment is included in a separate check.


* Based upon accompanying Preliminary Amendment
** includes all independent and single dependent claims and all claims referred to in multiple claims. See 37 C.F.R. § 1.75(c).

[X] Check in the amount of \$499.00 to cover the
[] recording, [X] filing fee(s) is attached.

[] Charge fee to Deposit Account No. 04-1121. Order No. TWO (2)
COPIES OF THIS SHEET ARE ENCLOSED.

[X] Please charge any deficiency as well as any other fee(s)
which may become due under 37 C.F.R. § 1.16 and 1.17, at any
time during the pendency of this application, or credit any
overpayment of such fee(s) to Deposit Account No. 04-1121.
Also, in the event any extensions of time for responding are
required for the pending application(s), please treat this
paper as a petition to extend the time as required and charge
Deposit Account No. 04-1121 therefor. TWO (2) COPIES OF THIS
SHEET ARE ENCLOSED.

Date: August 28, 2001


George M. Kaplan
Reg. No. 28,375

DILWORTH & BARRESE, LLP.
333 Earle Ovington Blvd.
Uniondale, NY 11553
Tel. No. (516) 228-8484
Fax. (516) 228-8516

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